

CIVIL SERVICE REFORM ACT OF 1978

TITLE IV

SENIOR EXECUTIVE SERVICE

PERFORMANCE APPRAISAL SYSTEM

I. PRIMARY ELEMENTS OF THE SYSTEM

A. Pre-Appraisal Understanding

On or before the beginning of each rating period, performance requirements must be established through consultations between the Senior Executive and his/her supervisor.

B. Establishment of Performance Requirements

- ° Performance requirements will be defined in terms of:

- (1) Organizational goals; and
- (2) Individual goals.

- ° Specific organizational and individual goals that have been established at the beginning of the rating period will be identified according to:

- (1) Critical elements which define what is to be specifically accomplished; and
- (2) Performance standards which specify the level of achievement expected (How much? How soon? etc.).

- ° Weighting of the critical elements/performance standards of each tasking according to relative importance.

C. Provide summary ratings of levels of performance as follows:

- (1) One (or more) fully successful levels;
- (2) A minimally satisfactory level; and
- (3) An unsatisfactory level.

D. Factors That Will Form the Basis of Appraisal of Performance in Meeting Established Organizational and Individual Goals

- ° (1) Improvements in efficiency, productivity and quality of work or service, including any significant reduction in paper work;
  - (2) Cost efficiency;
  - (3) Timeliness of performance;
  - (4) Meeting affirmative action goals and achievement of equal employment opportunity requirements; and
  - (5) Other indicators of effectiveness, productivity and performance quality of the employees for whom the Senior Executive is responsible.
- ° Each rated individual must be provided a copy of the appraisal and rating and may respond in writing and have the rating reviewed by the next higher executive level before rating becomes final.

## II. APPLICATION OF PERFORMANCE APPRAISAL RESULTS

### A. Performance Review Boards

Each Agency must establish one or more Performance Review Boards to review SES performance appraisals and make recommendations to the "appointing authority" of the Agency relative to the performance of all Senior Executives in the Agency.

### B. Eligibility for Performance Awards

Performance rated at fully successful levels permit the rated individual to be considered for a performance award.

### C. Consequences of Less Than Fully Successful Performance

- ° Any Senior Executive who twice in any period of three consecutive years receives less than fully successful ratings shall be removed from the SES.
- ° An unsatisfactory rating requires reassignment or transfer to a different assignment within the SES or possible removal from the SES. Two unsatisfactory ratings out of 5 consecutive years shall require removal from the SES.

1-2-1

## WORKSHEET--EXERCISE 1

Position Manager of the Processing Office\*

\*NOTE: This example does not refer to a position in your agency illustration.

ELEMENTS	REQUIREMENTS	MAX. POINTS
A. Maintaining work in current status	Backlogs not over 30 days	25
B. Maintaining acceptable quality and accuracy levels in decisions	95% accurate decisions	25
C. Reducing costs	2% reduction in unit costs	15
D. Eliminating paperwork	Reduce papers handled by 5%	5
E. Improving Affirmative Action program	Meet organization goals and timetables	5
F. Maintaining good community relations	Reduce number of complaints by 5%	15
G. Maintaining accurate documentation	Audit shows 99% complete documentation	5
H. Effective development of non-professional staff	80% of non-professionals performing at established level	3
I. Adjustments in work assignments to utilize mentally retarded	Five jobs reengineered	2
		Total 100

Range: Fully Successful 80 and aboveMinimally Satisfactory 70-79Unsatisfactory Below 70